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**Administrative and budgetary aspects of the financing of
the United Nations peacekeeping operations****Training policy and evaluation system of the Department
of Peacekeeping Operations****Report of the Secretary-General****Summary*

Pursuant to General Assembly resolutions 57/290 B of 18 June 2003 and 56/293 of 27 June 2002, the Secretary-General submits the present report on the training policy of the Department of Peacekeeping Operations, including training monitoring and evaluation methods.

The report outlines the development of the Department's training policy. The objectives of the policy reflect the need to ensure that peacekeeping personnel are equipped to meet the evolving challenges and demands of United Nations peacekeeping. The integrated approach to training is directed towards achieving the strategic goals and priorities of the Department and missions, and includes targeted programmes tailored to meet the substantive and operational requirements. These will include standard training to reflect the requirements of all personnel as well as specific training for the skills and competencies required of the different categories of personnel and professional groups. Principles to guide the application of the policy and strategic priorities for its implementation and systems being established for training monitoring and evaluation are set out in the present report.

* The delay in submission was due to the need to review the Department's approach to training to address the rapidly evolving demands on United Nations peacekeeping and peacekeepers.



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I. Introduction

1. In paragraph 14 of its resolution 57/290 B of 18 June 2003, the General Assembly requested the Secretary-General to report on the training policy of the Department of Peacekeeping Operations for military personnel, civilian police and civilian staff, considering paragraphs 127 to 133 of the report of the Advisory Committee on Administrative and Budgetary Questions of 4 April 2003 (A/57/772), and to report thereon to the General Assembly at its resumed fifty-eighth session.

2. In paragraph 18 of its resolution 56/293 of 27 June 2002, the General Assembly requested the Secretary-General to report on the development of a methodology and monitoring system to evaluate the results of training in peacekeeping and related areas, as recommended in paragraph 30 of the report of the Advisory Committee on Administrative and Budgetary Questions of 9 May 2002 (A/56/941).

3. The present report has been prepared as an interim response to those requests. It describes the efforts undertaken thus far within the Department of Peacekeeping Operations to develop an integrated training policy and strategy that will set overall standards to be met at each of the stages of recruitment, deployment/orientation and career development for all categories of personnel serving in peacekeeping operations; that is, military, civilian police and civilian personnel. In so doing, the policy will reflect both those requirements common to all categories of personnel as well as the specific skills and competencies required of each. The present report outlines the principles that will underpin the training policy and sets out the framework and orientation for the strategies and substantive development of integrated training programmes for peacekeeping personnel. The Department of Peacekeeping Operations will provide an elaborated policy directive, following consultation with Member States, troop- and police-contributing countries and other stakeholders, to specify those training requirements that should form the foundation of an integrated training policy for the Department's operations in the field.

II. Training policy of the Department of Peacekeeping Operations

A. Objectives and priorities

4. The overall objective of the training policy of the Department of Peacekeeping Operations is to ensure that peacekeeping personnel are qualified to meet the evolving challenges of peacekeeping operations. In this context, the training policy, now being developed, will establish benchmarks and certifications for the skills and competencies required of military, civilian police and civilian personnel at three different stages: recruitment; orientation/deployment; and career development. Strategies and substantive programme development will be established to meet both the standard requirements for all categories (that is, substantive and operational guidance geared to the specifics of working and communicating in the United Nations environment, in particular in peacekeeping operations) as well as specific professional requirements. The policy will further delineate the roles and responsibilities of all those engaged in training, including those of: Member States, in ensuring that military and civilian police personnel meet the stipulated

deployment and pre-deployment requirements and training; and the Organization itself, in recruiting individuals that meet the skills and competency requirements of specific positions and for offering targeted training to assist staff in developing their knowledge and skills to meet both the identified operational needs of the Organization and the legitimate career development goals of individual staff.

5. To that end, the specific objectives of the training policy will be to ensure that United Nations peacekeeping personnel, both uniformed and civilian, are able to:

- (a) Effectively perform their individual and collective functions;
- (b) Operate effectively within the modern multidimensional peacekeeping environment, understanding the roles and functions of their peacekeeping colleagues (both United Nations and non-United Nations), and integrate their operations with other field missions or Headquarters components;
- (c) Operate in hardship locations and missions during all phases of peace operations;
- (d) Demonstrate the core values and competencies of the United Nations, understand and respect the roles and responsibilities of United Nations personnel and abide by the Organization's rules and regulations.

6. These training objectives will support the Department's cross-cutting strategic principles, reviewed annually, which currently include:

- (a) Continuing to reform the management culture of the Department;
- (b) Strengthening peacekeeping partnerships within the United Nations system as well as with Member States, regional organizations, international financial institutions, non-governmental organizations and others;
- (c) Consolidating rapid deployment capability for peacekeeping and related operations;
- (d) Continuing to strengthen the headquarters/field relationship.

7. The scope of this policy covers the following categories of peacekeeping personnel, including:

- (a) Personnel from the headquarters of the Department (civilian, military and civilian police);
- (b) Civilian staff in field missions;
- (c) Military personnel in field missions;
- (d) Civilian police personnel in field missions.

8. While these groups have many distinct training needs, their combined skills and knowledge are required for the successful conduct of peacekeeping operations and the implementation of peacekeeping mandates. It is essential that they learn to work together and communicate in the United Nations environment. An integrated approach to training, ensuring optimal use of resources, is therefore being applied, with activities directed towards the achievement of the Department's strategic goals, priorities and mission mandates. The approach will require that each area provide its expertise to the planning, development and implementation of training programmes on cross-cutting issues. It will also ensure that tailored training for different

categories of personnel at Headquarters and in each peacekeeping operation is coordinated and mutually reinforcing. In addition to developing required skills, integrated training will seek to promote a greater understanding of the roles undertaken by each category of personnel, both in the field missions and at Headquarters.

9. The priority of the training policy is to deliver substantive and operational training to provide guidance geared to the specifics of working and communicating in the United Nations environment, in particular in peacekeeping operations. This will include standardized training in such areas as: security and safety; code of conduct; human rights; gender; women and children in armed conflict; and HIV/AIDS awareness. Standard courses will be provided on other cross-cutting issues, such as leadership and management, tailored to the different levels of personnel and the work they are to lead or manage.

10. Specifically targeted training will be provided to prepare staff and personnel from contributing Member States to: meet the evolving substantive and operational demands of peacekeeping missions in their areas of expertise; increase operational capabilities and efficiencies; and systematically employ lessons learned and best practices in their work.

Military personnel

11. The strategic training priorities for military personnel are to:

(a) Develop and disseminate standardized courses and modules for recognized training by Member States and regional organizations, building on the combined knowledge of Member States and various peacekeeping training organizations;

(b) Support the training of emerging troop-contributing countries and assist them in gaining recognition for their peacekeeping training institutions and programmes that meet specified standards;

(c) Support mission training needs, including training for the rapid deployment of mission headquarters staff, mission training cells, pre-deployment training for contingents and United Nations military observers;

(d) Share information on issues related to peacekeeping training through access to databases, web sites and training publications.

Civilian police personnel

12. The strategic training priorities for civilian police personnel are to:

(a) Ensure the deployment of appropriately trained and culturally sensitive police officers through training undertaken in Member States and in peacekeeping missions;

(b) Enhance peacekeeping capacity and develop capabilities in Member States as well as in peacekeeping missions;

(c) Widen the base of officers available from current police-contributing countries as well as increasing the number of police-contributing countries;

(d) Enhance the selection capacity of Member States to enable them to select the right profile for police officers for specific missions;

(e) Develop policy and procedures for the conduct of visits of Selection Assistance Teams to Member States;

(f) Develop partnerships and networks of civilian police experts to facilitate training and recruitment of qualified personnel.

Civilian personnel

13. The strategic training priorities for civilian personnel both at Headquarters and in peacekeeping operations are to:

(a) Provide training in leadership, management, planning and other core values and competencies in order to build the capacity of current leaders and managers and prepare the next generation for varied assignments;

(b) Develop substantive and skills training directly related to mission functions and those functions within Headquarters that support missions;

(c) Provide professional and technical training to support the introduction of new equipment, technologies, doctrine and practices and standard operating procedures.

B. Integration and coordination

14. A Training Advisory Group was established in June 2003 as an integration and coordination mechanism for training activities, including policy, strategies, programmes and evaluations, initiated or led by the Department of Peacekeeping Operations. The Training Advisory Group also serves as an advisory body to the Under-Secretary-General and the Senior Management Team on training issues and may provide recommendations to the Senior Management Team on training activities to meet departmental requirements. It also provides a forum for the exchange of best practices and the development of training material.

15. The Training Advisory Group is chaired by the Director of Change Management and is composed of representatives from the Training and Evaluation Service of the Military Division, the Training Unit of the Civilian Police Division, the Civilian Training Section of the Office of Mission Support, the Executive Office and the Peacekeeping Best Practices Unit of the Office of the Under-Secretary-General, the Office of Operations and the Mine Action Service, all of the Department of Peacekeeping Operations.

16. The establishment of Integrated Mission Training Centres,¹ Mission Training Cells and training focal points extends the coordination and integration mechanism on training issues to the United Nations peacekeeping missions.

C. Application of the policy

17. The following principles will guide the application of the training policy:

(a) Training and development will be linked to the strategic priorities and core business activities of the Department and will support the implementation of those activities;

(b) Training and development activities will be sustainable and result in the increased capacity of the Department to undertake its mandated responsibilities and functions;

(c) Training and development activities will be directed at enhancing the capacity of Member States to participate in current and future peacekeeping operations;

(d) The Department, as a learning body, will identify and implement best practices in all aspects of its operations;

(e) Training opportunities will be made available as equitably as possible to all categories of personnel, while taking into consideration Departmental priorities;

(f) Training programmes and activities will be developed in close cooperation and coordination between Headquarters and field missions and other relevant United Nations departments, agencies and stakeholders;

(g) All training activities will be evaluated for their contribution to meeting the objectives and priorities of the Department.

D. Implementation

Training and Evaluation Service, Military Division

18. The Military Division ensures that the most appropriate military capability available is deployed in support of United Nations operational objectives in peacekeeping operations. Within the Division, the role of the Training and Evaluation Service in support of that function is to optimize peace operations training and evaluation for Member States and missions, in partnership with the United Nations system. It achieves this by a sharing and fusion of knowledge from Member States, regional organizations, peacekeeping training institutions and United Nations entities to develop and specify standardized training modules for the training of troops and police, as well as United Nations staff at Headquarters and in field missions. Special attention is given to the varied training requirements of contingents, United Nations military observer team leaders, mission headquarters staff and staff of the Integrated Mission Training Centre. The Service also manages funding and supports the delivery of training of police according to the priorities set by the Civilian Police Division. It coordinates with the Civilian Police Division and the Civilian Training Section in developing programmes, syllabuses and modules for common and integrated training.

Training in the Civilian Police Division

19. The Civilian Police Division is responsible for the development of training for police officers from Member States and for local police officers in peacekeeping missions. The Division conducts training in Member States and coordinates training efforts in peacekeeping missions with support, including administrative support, from the Training and Evaluation Service. Funding for police training activities are included as separate line items in the budget submitted for the Service. The Division

pursues integration and coordination of training with both the Training and Evaluation Service and the Civilian Training Section through joint training on common activities.

Civilian Training Section, Office of Mission Support

20. The role of the Civilian Training Section is to manage and coordinate the provision of training and career development activities to civilian staff in field missions. Activities managed and coordinated by the Section include induction and orientation training, generic training, specialist training, leadership and management training and training exercises. Where appropriate, training activities are undertaken in coordination with the Training Evaluation Service, the Civilian Police Division and the Office of Human Resources Management, ensuring that civilian training is effectively integrated with training delivered to the military and civilian police components of field missions.

Executive Office, headquarters of the Department of Peacekeeping Operations

21. The role of the Executive Office of the Department of Peacekeeping Operations is to coordinate the provision of training for Headquarters staff. This is undertaken in consultation with the Office of Human Resources Management, which has the primary responsibility for the training of Headquarters-based staff. Training may include, but not be limited to, induction training, leadership and management training, as well as professional and technical development. The Executive Office also coordinates with the Civilian Training Section regarding activities aimed at developing key capacities and skills for mission service both at Headquarters and in the field.

E. Evaluation

22. The Department's training policy and its implementation will be reviewed after two years and modified, as appropriate. Training programmes will be subject to ongoing review and evaluation. Guidelines, standardized courses and training modules will undergo annual reviews. The aim of the evaluations and reviews will be to ensure that the policy and implementation activities continue to meet the current and anticipated needs of the Department and to measure, to the extent possible, the impact of training on the achievement of the Department's objectives. The evaluations will also assist with the institutionalization of best practices and lessons learned.

23. Each training activity will be evaluated for its contribution to the performance of the Department and field missions. The monitoring and evaluation system is based on a modification of the "Kirkpatrick model", which is outlined below (see paras. 27-41 below).

F. Recording

24. Records of training activities, participants (staff members, groups, units and institutions) and evaluations are maintained by the Training and Evaluation Service, the Civilian Police Division and the Civilian Training Section. The tracking systems will be enhanced and used more systematically to achieve economy of effort. They

will be benchmarked against standards and requirements for positions at different levels to facilitate progressive training for individuals and groups, identify and employ the best qualified personnel for specific jobs and link training to career development.

G. Funding

25. Training activities for military, civilian police and civilian staff in the field are funded from approved resources in the respective mission budgets and in the peacekeeping support account. Training assistance provided to Member States (military and civilian police training activities) is funded through the peacekeeping support account allocated to the Training and Evaluation Service. Training for civilian staff at Headquarters is funded partly from the support account and partly through funds allocated from centrally managed training funds provided to the Office of Human Resources Management through the regular budget.

26. The funding of staff development activities is based on the training and development plans that accompany respective budget submissions, which are based on the guidelines and overall priorities of the Department of Peacekeeping Operations, as well as on mission-specific needs. For field staff, locally initiated activities are funded from mission budgets. In addition, mission budgets contribute to the participation of staff members in centrally organized activities. Headquarters initiated activities for field staff, including the travel of Headquarters-based facilitators to missions, are normally funded from the support account.

III. Training monitoring and evaluation systems

27. The monitoring and evaluation system to evaluate the results of training is based on a modification of the Kirkpatrick model. Using the model, evaluation is dealt with comprehensively on five ascending levels. Level 1 (reaction) seeks the immediate reactions of participants to the training. Level 2 (learning) questions what the individual learned at the conclusion of training. Level 3 (behaviour) analyses how the participant is affected by the training on return to the workplace. Level 4 (result) examines how the mission benefited from the training. Level 5 (return on investment) analyses accomplishments in achieving the objectives of the Department. While work is proceeding in all areas of the Department's work, establishing a framework and methodology for the evaluation of training is labour-intensive. More work remains to be done.

A. Military and civilian police

Systems approach to evaluation

28. The Training and Evaluation Service employs a systems approach to training and evaluation, which sets out a cycle for training with stages of development, delivery, evaluation and review. In a programme of continuous activities, these stages are in operation concurrently, and evaluations are designed to be undertaken at all stages and for all training activities. The evaluation activities conducted thus far have been focused on the development and delivery of training; their

effectiveness in the field will be reviewed progressively starting in 2004. This limitation is currently being overcome by directing the efforts of the expanded Training and Evaluation Service to achieve three major initiatives: the standardized training module project, the integrated mission training centre project and the introduction of the Kirkpatrick model for the evaluation of training.

29. Implementation of the comprehensive evaluation and monitoring system for military peacekeeping training in field missions and in those Member States and regional organizations delivering United Nations-recognized courses is facilitated by the introduction of the Standardized Training Modules and Integrated Mission Training Centres. The Standardized Training Modules provide the common baseline for evaluation while the Integrated Mission Training Centres provide the means to monitor the workplace to evaluate the results of training.

1. Standardized training module project

30. The aim of the standardized training module project is to develop standardized training modules for recognized United Nations peacekeeping training by Member States, regional organizations and the United Nations. The project itself provides an extensive methodology for evaluation. Each module includes criteria for evaluating the courses and the evaluation information is used to further develop the module. Furthermore, standardized training provides a baseline for monitoring the results of peacekeeping training in specific field missions.

31. The project is being carried out in three parts. The first part, for training in generic topics for all United Nations peacekeepers, has been completed and distributed to Member States in CD-ROM format. Topics included: United Nations peacekeeping operations, the legal framework, the code of conduct, gender and peacekeeping, human rights, humanitarian assistance, landmine awareness, health and medical issues and personal security awareness. The second part deals with specialized training, including training for United Nations military and civilian police observers and monitors, staff officers, former military and civilian police units and civilian police officers, as well as technical training, such as logistical support, disarmament, demobilization and reintegration and mentoring. The third part, currently in development, will be for mission leaders and managers.

32. Standardized training modules are developed in close consultation with Member States. For example, standardized training module 1: Generic was developed with the participation of 75 Member States in regional seminars held in Africa, Asia Pacific, Europe and the Americas in 2002. The forum is an effective means for Member States to collectively examine the results of training in peacekeeping. After completion of the project, the Training and Evaluation Service and the Civilian Police Division propose to continue conducting seminars as part of the evaluation system.

33. The Training and Evaluation Service is consulting with the permanent missions of Member States on arrangements for a new initiative to formally recognize peacekeeping training delivered by Member States and regional organizations that incorporates United Nations standard training modules. United Nations recognition of courses given by Member States will facilitate the rapid adoption of United Nations standardized training materials. It will also enable the Training and Evaluation Service and the Civilian Police Division to access the spare training capacity of Member States in courses they deliver for students from

emerging troop- and police-contributing countries in Africa and elsewhere, thereby acting as a catalyst for those countries to accelerate their contribution to United Nations peacekeeping operations.

2. Integrated mission training centre project

34. In 2000, the Training and Evaluation Service initiated a mission training cell project to provide training for military personnel in missions. Since the inception of the project, mission training cells have been established in 10 United Nations peacekeeping operations: the United Nations Peacekeeping Force in Cyprus (UNFICYP), the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC), the United Nations Mission in Ethiopia and Eritrea (UNMEE), the United Nations Observer Mission in Georgia (UNOMIG), the United Nations Military Observer Group in India and Pakistan (UNMOGIP), the United Nations Interim Force in Lebanon (UNIFIL), the United Nations Mission in Liberia (UNMIL), the United Nations Mission in Sierra Leone (UNAMSIL), the United Nations Mission of Support in East Timor (UNMISSET), and the United Nations Mission for the Referendum in Western Sahara (MINURSO). In 2002, the Civilian Training Section established a training focal point system to provide training for civilian personnel in missions. As of 2003, every mission has an identified focal point, and training units are planned for or exist in larger missions, such as the United Nations Assistance Mission in Afghanistan (UNAMA), the United Nations Interim Administration Mission in Kosovo (UNMIK) and UNMEE. The Civilian Police Division has induction training centres in the missions with a larger civilian police component, including UNMIK, UNMIL and UNMISSET, and induction training focal points in missions with a smaller police component. The role of the chief of the mission training cell and the chief of the police training centre includes advice to the troop-contributing and police-contributing countries on the preparation and refinement of pre-deployment training to meet evolving peacekeeping and mission-specific needs.

35. Building on this experience, and in order to address the increasing complexity of the mandates of peacekeeping operations and the greater integration required of military, civilian police and civilian personnel, the Department of Peacekeeping Operations is working on a project to implement the concept of integrated mission training centres. The aim of the project is to provide peacekeeping missions in the field with an integrated team of military, civilian police and civilian trainers for the training and evaluation of mission personnel. The centres will provide the mandatory induction training for all mission personnel, ongoing cross-cutting training programmes, supplementary and rotation training and associated evaluations throughout the lifecycle of a mission. Depending on the mandate of the mission, this team may include military, civilian police and/or civilian training elements. Each element will retain responsibility for the specific training needs of the respective personnel group and will appoint and train its own personnel, while ensuring an integrated approach in sharing training resources and facilities and promoting greater linkages between the different mission components. Missions with regional offices/sectors may require dedicated training resources.

36. The integrated mission training centres will provide the Training and Evaluation Service, Civilian Police Division and the Civilian Training Section with evaluation reports on training activities, lessons learned and proposed adjustments to training programmes, reflecting the experience in the mission. Based on the reports,

each component will undertake an annual review of training policies, guidelines, standard courses and training modules. The Department will establish a formal reporting mechanism on the centres to monitor the impact of training and to document, in coordination with the Peacekeeping Best Practices Unit, lessons learned.

37. The Department will establish integrated mission training centres in all future missions, beginning with the United Nations Operation in Côte d'Ivoire (UNOCI). It is also intends to establish centres in the existing missions, the United Nations Disengagement Observer Force (UNDOF) and the United Nations Truce Supervision Organization (UNTSO), which do not as yet have mission training cells. The centres will need to be adequately staffed with all mission components in order to perform these functions with a high degree of quality, efficiency and effectiveness, which ultimately results in the successful accomplishment of mission mandates.

3. Evaluation of military and civilian police training

38. Level 1 and 2 evaluations are being conducted for all training programmes of the Training and Evaluation Service and the Civilian Police Division and will be required for Member States delivering United Nations-recognized training, where participants will be funded by the Training and Evaluation Service. Evaluation information from recognized training delivered by peacekeeping training organizations is essential for improving the quality of training material and the timely design of remedial training. Shortly after training, integrated mission training centres will conduct level 3 evaluations for all trained personnel who deploy to missions shortly after training. Methodologies include questionnaires, interviews and observations involving the workplace, including the involvement of peers superiors and subordinates. The centres will also assist level 4 evaluations by collecting routine organizational data on discipline, gender sensitivity, cultural awareness, health, safety and security. Additional analysis of accomplishments in achieving Departmental objectives will be conducted through the results-based management process.

39. Evaluation methodologies for levels 1 and 2 have been developed and field-tested in courses conducted by the Training and Evaluation Service in 2003. Results of these tests are available on the Service's web site. Questionnaires for levels 3 and 4 are currently under development and will be completed and field tested by the end of 2004. The methodology and monitoring system for evaluating military and civilian police peacekeeping training by the Department will therefore be in place and tested for routine operation on an annual basis using results-based management (level 5) for the 2004-2005 budget period. Further work needs to be undertaken to fully develop this framework in the context of the performance of civilian police officers in the field.

B. Civilian personnel

40. The Civilian Training Section is developing a training evaluation standard operating procedure for the Department based on the Kirkpatrick model, with some modifications. The procedure will be finalized and issued by the end of 2004, after which a roll-out and evaluation period will be necessary. Currently, all civilian training activities initiated by the Department are evaluated at level 1 (reaction) and,

in some cases, level 2 (learning). As yet, none have been assessed at levels 3 (behaviour) or 4 (result).

41. While application of the Kirkpatrick model is suited to formal courses and workshops, it is more difficult to apply fully to on-the-job training, distance learning and participation in professional workshops and conferences. More work is therefore required to integrate the assessment of these training activities into the evaluation procedures. It is expected that the Department's civilian training evaluation system will take 12 to 18 months to be fully adopted and applied.

IV. Conclusion

42. A solid foundation has been laid for the Department's training policy, including monitoring and evaluation mechanisms. It reflects the Department's commitment to integration and to a substantive, tailored and targeted approach to training that responds to operational demands, is linked to the standards required for deployment to perform specific functions and supports the career development of peacekeeping personnel. With the benefit of advice from Member States on the policy, and building on the successful initiatives currently under way, integrated training strategies and training programmes will be developed to achieve the objectives of the policy.

Notes

¹ The terms of reference and the structure of the Integrated Mission Training Centre are in development.